Official Record

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Locate and conduct surveillance of [redacted] **Date:** 04/09/2018

CC: BS-P2

From: NEW YORK
NY-C35
Contact: [redacted] b6 b7C b7E

Approved By: SSA [redacted]

Drafted By: [redacted]

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; [redacted]

Synopsis: (U) EC to set a lead to the Boston Field Office, Providence RA, to conduct surveillance of [redacted] b6 b7C b7E

Enclosure(s): Enclosed are the following items:
1. (U) [redacted] information
2. (U) information
3. (U) information

b6 b7C

Details:

The above-captioned is an ongoing insider trading investigation involving suspicious trading by numerous individuals in the stock and options of FORTRESS INVESTMENT GROUP LLC (FIG). The suspicious trading occurred before an announcement of a merger between FIG and SOFTBANK.

[redacted] was identified as trading in FIG options and equities before the merger announcement was made and then selling his shares in the company for a profit. b6 b7C

b6
b7C

[redacted] looked at FORTRESS INVESTMENT GROUP for a long time (FORTRESS). He never found FORTRESS management to be anything but forthcoming. He made a decent amount trading options. He never had an issue with them.

b6
b7C

He did not talk to anyone about CHESAPEAKE or FORTRESS. No one gave him advice on them.

He did not hear about the FORTRESS deal with SOFTBANK ahead of time but he wished he had. He learned about it in February 2017. He first learned about it when it was announced. He noticed there was shady trading. By shady trading, he meant he saw a spike in trading before the deal. He saw this spike after the deal occurred.

He had two brokerage accounts, one with ALLY and one with FIDELITY for his retirement. Both ALLY and FIDELITY give minute by minute trading information, which was how he was able to see the spike in trading for the FORTRESS deal.

Official Record

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Locate and interview [redacted] **Date:** 04/10/2018

CC: AQ-WCC

From: NEW YORK
NY-C35
Contact: [redacted]

b6
b7C
b7E

Approved By: SSA [redacted]

Drafted By: [redacted]

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; [redacted]

Synopsis: (U) EC to set a lead to the Albuquerque Field Office to conduct an approach and interview [redacted]

b6
b7C

Enclosure(s): Enclosed are the following items:
1. (U) [redacted] information
2. (U) [redacted] information
3. (U) [redacted] information

Details:

The above-captioned is an ongoing insider trading investigation involving suspicious trading by numerous individuals in the stock of FORTRESS INVESTMENT GROUP LLC (FIG). The suspicious trading occurred before a 2/14/2017 announcement of a merger between FIG and SOFTBANK.

[redacted] was identified as trading in FIG options and equities before the merger announcement was made and then selling his shares in the company for a profit.

b6
b7C

It is requested that the Albuquerque Field Office conduct an approach and interview [redacted] According to open source records, [redacted] is believed to reside at [redacted]

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b7C

Title: (U) Locate and interview [redacted] b6 b7C
Re: 318D-NY-2137947, 04/10/2018

[redacted] Attached to this EC as a 1A package are [redacted] DMV photograph, NCIC report, and Clear report. b6 b7C

Please contact either SA [redacted] at [redacted] or SA [redacted] at [redacted] before the approach. b6 b7C b7E

If [redacted] agrees to be interviewed, please ask the following questions and please document your findings via FD-302. Please provide perjury and obstruction of justice warnings at the end of the interview. b6 b7C

Questions:

[redacted] b5

Title: (U) Locate and interview [redacted] b6 b7C

Re: 318D-NY-2137947, 04/10/2018

[redacted] b5

Title: (U) Locate and interview [redacted] b6 b7C
Re: 318D-NY-2137947, 04/10/2018

♦♦

Official Record

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Locate and interview [redacted] **Date:** 04/10/2018

CC: PH-WC3

From: NEW YORK
NY-C35
Contact: [redacted]

b6
b7C
b7E

Approved By: SSA [redacted]

Drafted By: [redacted]

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; [redacted]

Synopsis: (U) EC to set a lead to the Philadelphia Field Office to conduct an approach and interview [redacted]

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b7C

Enclosure(s): Enclosed are the following items:
1. (U) NCIC
2. (U) DMV photo
3. (U) Clear report

Details:

The above-captioned is an ongoing insider trading investigation involving suspicious trading by numerous individuals in the stock of FORTRESS INVESTMENT GROUP LLC (FIG). The suspicious trading occurred before a 2/14/2017 announcement of a merger between FIG and SOFTBANK.

[redacted] was identified as trading in FIG options and equities before the merger announcement was made and then selling his shares in the company for a profit.

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b7C

It is requested that the Philadelphia Field Office conduct an approach and interview [redacted] According to open source records, [redacted] is believed to reside at [redacted]

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b7C

Title: (U) Locate and interview [redacted] b6 b7C
Re: 318D-NY-2137947, 04/10/2018

[redacted] Attached to this EC as a 1A package are [redacted] DMV photograph, NCIC report, and Clear report. b6 b7C

Please contact either SA [redacted] at [redacted] or SA [redacted] at [redacted] before the approach. b6 b7C b7E

If [redacted] agrees to be interviewed, please ask the following questions and please document your findings via FD-302. Please provide perjury and obstruction of justice warnings at the end of the interview. b6 b7C

Questions:

[redacted] b5

Title: (U) Locate and interview [redacted] b6 b7C
Re: 318D-NY-2137947, 04/10/2018

[redacted] b5

Title: (U) Locate and interview [redacted] b6 b7C
Re: 318D-NY-2137947, 04/10/2018

♦♦

Official Record

FEDERAL BUREAU OF INVESTIGATION

Date of entry 04/30/2018

[redacted] born on [redacted] PA Drivers License [redacted] home telephone number [redacted] was interviewed at his residence, [redacted] After being advised of the identity of the interviewing agent and the nature of the interview, [redacted] provided the following information: b3 b6 b7C

[redacted] b3 b6 b7C

Investigation on 04/27/2019 at [redacted] (In Person) b3 b6 b7C

File # 318D-NY-2137947 Date drafted 04/27/2018

by [redacted]

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

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[redacted]

b3
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b7C

ADMINISTRATIVE: At the conclusion of the interview, SA [redacted] provided [redacted] with perjury and obstruction of justice warnings in addition to serving [redacted] with a subpoena.

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b7C

Official Record

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Travel concurrence/authority **Date:** 05/21/2018

CC: BS-P1

From: NEW YORK
NY-C35
Contact: [redacted]

Approved By: A/SSA [redacted]
ASAC CASALE JOHN J Jr
A/SAC KHOUZAMI GEORGE

Drafted By: [redacted]

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; [redacted]

Synopsis: (U) Requesting SAC concurrence and ASAC authority for travel by two New York-based Special Agents to the Boston Division on May 23, 2018 for an approach and interview.

Details:

The above-captioned is an ongoing insider trading investigation involving suspicious trading by numerous individuals in the stock of FORTRESS INVESTMENT GROUP LLC (FIG). The suspicious trading occurred before a February 14, 2017, announcement of a merger between FIG and SOFTBANK.

[redacted] was identified as trading in FIG options and equities before the merger announcement was made and then selling his shares in the company for a profit. Surveillance previously conducted by Special Agent [redacted] verified [redacted] address as [redacted]

It is therefore requested that SA [redacted] and SA [redacted] be permitted to travel by Bucar to the Boston AOR on May 23, 2018, in

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b6
b7C

Title: (U) Travel concurrence/authority
Re: 318D-NY-2137947, 05/21/2018

order to conduct an approach and interview of [redacted] Agents will travel to [redacted] residence and back to New York on the same day. It is not anticipated that any overnight stay will be required. No travel funds are required. b6 b7C

Concurrence was obtained from SSA [redacted] New York Division, and SSA [redacted] Boston Division. b6 b7C

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Official Record

FEDERAL BUREAU OF INVESTIGATION

Date of entry 06/04/2018

[redacted] date of birth [redacted] home address [redacted] cellular telephone number [redacted] email address [redacted] was interviewed at his residence. Present for the interview were Federal Bureau of Investigation Special Agents [redacted] After being advised of the identities of the interviewing Agents and the nature of the interview, [redacted] voluntarily provided the following information: b6 b7C

[redacted] was [redacted] He attended the University of Rhode Island and Bryant University. He had [redacted] He worked for CVS and he was in the reserves. He previously worked for HUMANA. b6 b7C

He started trading in 2006 after he attended [redacted] He was always a solo trader and he never had an advisor. He traded based on information he read on fidelity.com and the Wall Street Journal. b6 b7C

[redacted] traded in stocks and MLPs. He used to trade in options a lot. He made a lot of money at one time and then lost a lot in 2014. [redacted] options trading strategy was on a stock by stock basis and by the moment. b6 b7C

He lost a lot of money in a few stocks. He got hammered in the oil downturn.

He knew a lot about oil and gas so he did a lot of trading in these areas and he did pretty well with it.

He referenced a time when management screwed him over with ATLAS ENERGY and RCS CAPITAL.

[redacted] followed CHESAPEAKE ENERGY CORP (CHESAPEAKE) for a long time. When they looked like they bottomed out in 2015 he bought a ton of options. He thought he lost approximately $100,000. CHESAPEAKE was sketchy at best. The executive teams at CHESEAPEAKE and SANDRIDGE ENERGY (ph) were less than forthcoming. b6 b7C

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

Title: (U) Locate and conduct surveillance of [redacted] b6 b7C b7E
Re: 318D-NY-2137947, 04/09/2018

It is requested that the Boston Field Office, Providence RA, conduct surveillance of [redacted] According to open source records, [redacted] is believed to reside at [redacted] Attached to this EC as a 1A package are [redacted] DMV photograph, NCIC report, and Clear report. b6 b7C b7E

Please contact either SA [redacted] at [redacted] or SA [redacted] at [redacted] with any questions. b6 b7C b7E

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FEDERAL BUREAU OF INVESTIGATION
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DELETED PAGE INFORMATION SHEET
FOI/PA# 1589081-000

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Physical 1A/1C Cover Sheet for Serial Export

Created From: 318D-NY-2137947
Serial 4

Package: 1A7

Stored Location: None

Summary: (U) [redacted] received from the SEC. [redacted]

Acquired By: [redacted]

Acquired On: 2017-04-14

Acquired From: (U) Counsel [redacted]
SEC

Attachment: (U) [redacted]

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FD-1057 (Rev. 5-8-10)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Case File Opening **Date:** 02/24/2017

CC: [redacted]

From: NEW YORK
NY-C35
Contact: [redacted]

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b7C
b7E

Approved By: A/SSA CINCINELLI SALVATORE G

Drafted By: [redacted]

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; UNSUBS

Synopsis: (U) To open a preliminary investigation

Preliminary Investigation Initiated: 02/24/2017, set to expire 08/24/2017

Details:

FORTRESS INVESTMENT GROUP (FIG) is a private equity firm. On February 14, 2017 it was announced by FIG that they would be taken over by SOFTBANK for $3.3 billion. Hours before the announcement was made, a trader or traders in the options market made an estimated profit of 400%, betting on a big move for FIG. Purchases of short dated call options for FIG, expiring in March of 2017, followed a spike in trading activity in FIG shares. This was several hours before news of the takeover became public.

According to an open source article, options trading activity was more than eight times the normal activity. Total options trading volume on February 14, 2017 was 9,601, compared to average daily trading volume of 1,124 option contracts. Equity trading volume was also unusually high. Open source reporting further states the much of the options trading volume that went through on February 14, 2017 appeared to have

been taken off on the subsequent day, suggesting that whoever made the bet was taking profits on the position.

If it can be proven that any FIG option trading activity was based upon material non-public information gained through connections to insiders, such criminal conduct would be considered sufficiently flagrant to warrant prosecution.

Consistent with DIOG § 7.5, captioned investigation is predicated upon the previously-articulated factual basis that reasonably indicates "an activity constituting that a Federal crime (i.e., securities fraud vis-á-vis insider trading) has or may have occurred and the investigation may obtain information relating to the activity or the involvement or role of an individual, group or organization in such activity."

Consistent with the Economic Crimes Policy Implementation Guide §4.1.1, investigation of this matter is an appropriate use of personnel and financial resources, and it will address a crime problem (i.e., securities fraud vis-á-vis insider trading) that will have a significant impact on the community (e.g., through economic stability and the integrity of the financial markets). Furthermore, if a crime was committed and the FBI does not investigate, the responsible person or group will escape justice.

FBI-New York will coordinate the criminal investigation with a parallel civil inquiry by the Securities and Exchange Commission. It is anticipated that the investigative strategy will entail [redacted] b7E

[redacted]

SA Cincinelli received verbal concurrence from CFCU SSA [redacted] b6 b7C on 02/24/2017 to open captioned matter as a 318D investigation. Captioned matter will be opened and assigned to SA Salvatore Cincinelli and SA [redacted]

Title: (U) Case File Opening
Re: 318D-NY-2137947, 02/24/2017

♦♦

FD-1057 (Rev. 5-8-10)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) FINRA referral **Date:** 03/24/2017

CC: [redacted]

From: NEW YORK
NY-C35
Contact: CINCINELLI SALVATORE G, 718-286-7100

Approved By: SSA [redacted]

Drafted By: CINCINELLI SALVATORE G

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; UNSUBS
[redacted] (U) [redacted]
UNSUBS; [redacted]
[redacted] INSIDER TRADING

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b7E

Synopsis: (U) To update captioned investigation with new subject information

Preliminary Investigation Initiated: 02/24/2017, set to expire 08/24/2017

Administrative Notes: (U) Reference telephone calls with C-1 Case Agent [redacted] on 03/22/2017, US DOJ Criminal Fraud Section Assistant Chief [redacted] on 03/22/2017, and US SEC Attorney [redacted] on 03/22/2017.

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Enclosure(s): Enclosed are the following items:
1. (U) FINRA referral

Details:

On Friday, February 24, 2017, Associate Regional Director of the United States Securities and Exchange Commission [redacted] approved an access request granting the Federal Bureau of Investigation access to the SEC's investigative files regarding insider trading in FORTRESS INVESTMENT GROUP (FIG).

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Title: (U) FINRA referral
Re: 318D-NY-2137947, 03/24/2017

Pursuant to the approved access request, the SEC [redacted] b7E

In addition, the SEC [redacted] b6 b7C b7E

In an attempt to deconflict with an ongoing investigation being run by New York's squad C-1, captioned investigation will focus on [redacted] that [redacted] would have engaged in using his contacts at MORGAN STANLEY. The SEC [redacted] b6 b7C b7E

New York's squad C-1 will investigate the overseas trading in stock, options, and CFD's of FIG as part of their wider overseas insider trading investigation, [redacted] The same groups and individuals executing the FIG trades have already appeared as people of interest in [redacted] trading in other deals. The C-1 investigation will continue to work with the US Attorney's Office, Southern District of New York. b7E

Title: (U) FINRA referral
Re: 318D-NY-2137947, 03/24/2017

Captioned investigation into [redacted] trading will be run with the United States Department Of Justice's Criminal Fraud Section in Washington, D.C. On March 24, 2017, Assistant Chief [redacted] pledged full prosecutorial support for captioned investigation.

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The attached digital 1A envelope contains the FINRA referral provided to the FBI by the SEC.

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FD-1057 (Rev. 5-8-10)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Preservation Letters and 2703(d) orders served in March and April of 2017 **Date:** 04/20/2017

From: NEW YORK
NY-C35
Contact: [redacted] b6 b7C b7E

Approved By: SSA [redacted]

Drafted By: [redacted]
CINCINELLI SALVATORE G

Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; UNSUBS

Synopsis: (U) To document the preservation letters and 2703(d) orders served on various service providers in March and April of 2017

Preliminary Investigation Initiated: 02/24/2017, set to expire 08/24/2017

Enclosure(s): Enclosed are the following items:
1. (U) 2703(d) Orders
2. (U) [redacted]
3. (U)
4. (U)
5. (U)
6. (U)
7. (U)

b7E

Details:

On March 26, 2017 and March 29, 2017, preservation letters were served [redacted]

[redacted] b6 b7C b7E

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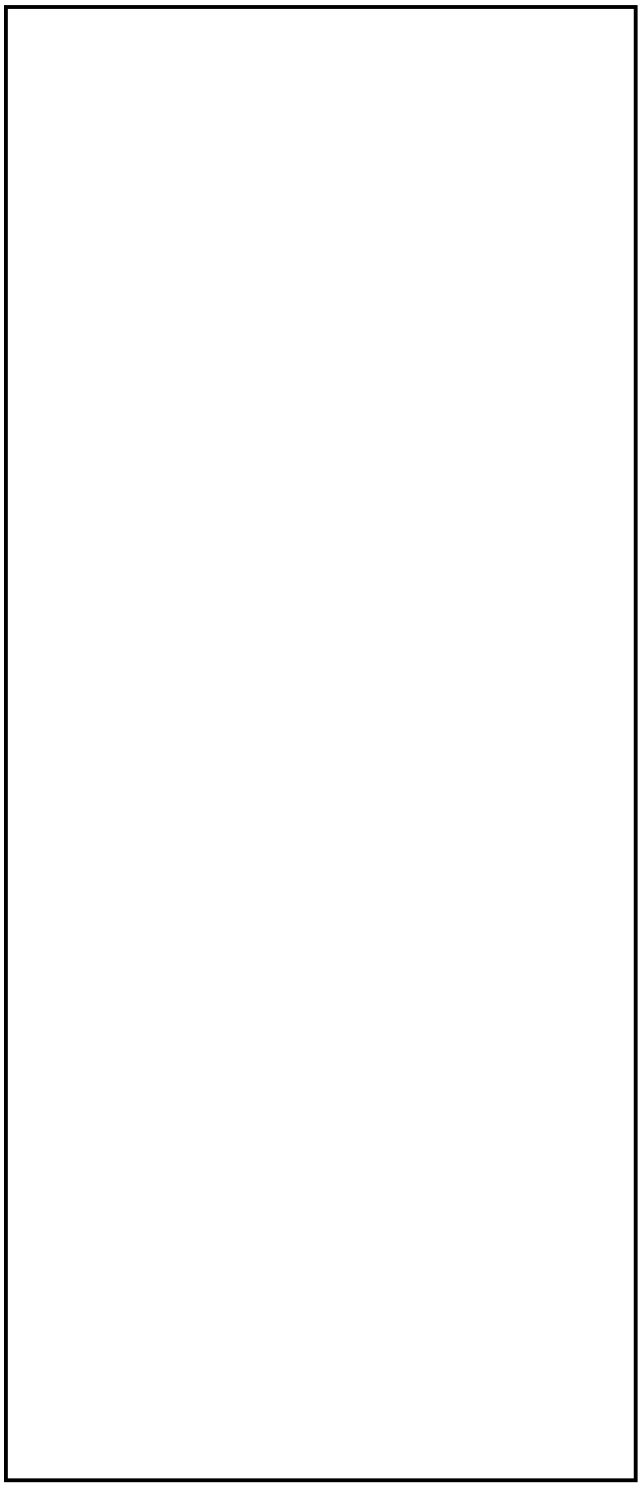
Title: (U) Preservation Letters and 2703(d) orders served in March and April of 2017
Re: 318D-NY-2137947, 04/20/2017



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b7E

Title: (U) Preservation Letters and 2703(d) orders served in March and April of 2017
Re: 318D-NY-2137947, 04/20/2017

[redacted]

b6
b7C
b7E

E-mail confirmation of said preservation letters are attached in a 1A (Digital).

On [redacted] 2703(d) court orders were served on [redacted]

[redacted]

b6
b7C
OTHER Sealed

Copies of said orders are attached in a 1A (Digital).

On [redacted] a 2703(d) court order was served on [redacted] OTHER Sealed

[redacted]

Title: (U) Preservation Letters and 2703(d) orders served in March and April of 2017
Re: 318D-NY-2137947, 04/20/2017

[redacted]

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b7C
OTHER Sealed

A copy of said order is attached in a 1A (Digital).

♦♦

[redacted] **(IMD) (CON)**

From: [redacted](USANJ)[redacted]
Sent: Friday, March 31, 2017 5:30 PM
To: Cincinelli, Salvatore G. (NY) (FBI); [redacted](NY) (FBI)
Cc: [redacted](CRM)
Subject: FIG - d-Orders
Attachments: [redacted]

[redacted]

Attaching 2 signed d-orders for service.

Thanks,

b5
b6
b7C
OTHER Sealed

[redacted]
Assistant U.S. Attorney

U.S. Attorney's Office
District of New Jersey
970 Broad Street, Newark, NJ 07102
Desk: [redacted]
Cell: [redacted]

[redacted] (IMD) (CON)

From: [redacted] (USANJ) [redacted]
Sent: Thursday, April 06, 2017 12:15 PM
To: Law Enforcement
Cc: [redacted] (CRM); Cincinelli, Salvatore G. (NY) (FBI); [redacted] (NY) (FBI)
Subject: RE: 2705(b) Request
Attachments: [redacted]

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OTHER Sealed

Hi [redacted]

Per our discussion, I'm emailing [redacted]

Best regards,

[redacted]
Assistant U.S. Attorney

U.S. Attorney's Office
District of New Jersey
970 Broad Street, Newark, NJ 07102
Desk: [redacted]
Cell: [redacted]

From: [redacted] **On Behalf Of** Law Enforcement
Sent: Thursday, April 6, 2017 10:33 AM
To [redacted] (USANJ) [redacted]
Subject: Re: 2705(b) Request

b6
b7C

We are in receipt of your request and will process it immediately.

On Wed, Apr 5, 2017 at 6:34 PM [redacted] (USANJ) [redacted] wrote:

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b7C

> Please see the attached preservation request pursuant to 18 U.S.C. 2705(b). Thank you.
>
> [redacted]
> Assistant U.S. Attorney
>
> U.S. Attorney's Office

District of New Jersey

970 Broad Street, Newark, NJ 07102

Desk [redacted]

Cell: [redacted]

b6
b7C

APR-03-2017 13:55 P.001

FD-448 (Rev. 6-2-97)

FBI FACSIMILE

COVER SHEET

PRECEDENCE

- ☐ Immediate
- ☐ Priority
- ☐ Routine

CLASSIFICATION

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Sensitive
- ☐ Unclassified

Time Transmitted: _____
Sender's Initials: _____
Number of Pages: 7
(including cover sheet)

To: _____ Name of Office _____ Date: _____

OTHER Sealed

Facsimile Number: _____

Attn: _____
Name Room Telephone

From: FBI New York
Name of Office

Subject: _____

Special Handling Instructions: _____

Originator's Name: _____ Telephone: _____

Originator's Facsimile Number: _____

Approved _____

Brief Description of Communication Faxed _____

WARNING

Information attached to this cover sheet is U.S. Government Property. If you are not the intended recipient of this

APR-03-2017 13:56 P.002

Cincinelli, Salvatore G. (NY) (FBI)

OTHER Sealed

To Whom It May Concern:

Attached is an order requiring the disclosure of certain information pertaining to a [redacted] pursuant to 18 U.S.C. Section 2703(d) on or before April 10, 2017. The order also prohibits the disclosure of your receipt of this order or your production of information pursuant to it to any person, including the subscriber(s) of the relevant email account, except your legal counsel.

Please provide the requested information to Special Agent [redacted] Federal Bureau of Investigation, 80-02 Kew Gardens Road, Queens, New York 11415. Special Agent [redacted] is cc'd here and can also be reached at [redacted] b6 b7C b7E

Thank you for your assistance,

Salvatore Cincinelli
Special Agent, FBI
80-02 Kew Gardens Rd, 12th floor
Queens, NY 11415
Phone: (718) 286-7385
Fax: (718) 286-7422

[redacted] **(IMD) (CON)**

From: [redacted](USANJ) [redacted]
Sent: Monday, March 27, 2017 9:35 AM
To: Cincinelli, Salvatore G. (NY) (FBI); [redacted](NY) (FBI)
Cc: [redacted](CRM)
Subject: Fortress Preservation Notices
Attachments: Fax to [redacted] abandoned after 5 attempts.; Your fax has been successfully sent to [redacted] Your fax has been successfully sent to [redacted] Your fax has been successfully sent to [redacted] Your fax has been successfully sent to [redacted] Your fax has been successfully sent to [redacted] Your fax has been successfully sent to [redacted]

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Forwarding along the preservation notice confirmations. Of the open source [redacted] forwarded by Sal, I've sent preservation notices for all but:

[redacted]

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[redacted]

[redacted]
Assistant U.S. Attorney

U.S. Attorney's Office
District of New Jersey
970 Broad Street, Newark, NJ 07102
Desk: [redacted]
Cell: [redacted]

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[redacted](IMD) (CON)

From: usahub-rfax@ <usa.doj.gov>
Sent: Sunday, March 26, 2017 1:48 PM
To: [redacted](USANJ)
Subject: Fax to [redacted] abandoned after 5 attempts.
Attachments: [redacted]

Fax to [redacted] abandoned after 5 attempts.

Time: 3/26/2017 1:26:45 PM
Sent to [redacted] with remote ID ""
Result: (0/301;0/0) Busy signal detected Page record: NONE SENT Elapsed time: 00:06 on channel 19

Time: 3/26/2017 1:32:01 PM
Sent to [redacted] with remote ID ""
Result: (0/301;0/0) Busy signal detected Page record: NONE SENT Elapsed time: 00:06 on channel 19

Time: 3/26/2017 1:37:16 PM
Sent to [redacted] with remote ID ""
Result: (0/301;0/0) Busy signal detected Page record: NONE SENT Elapsed time: 00:06 on channel 12

Time: 3/26/2017 1:42:32 PM
Sent to [redacted] with remote ID ""
Result: (0/301;0/0) Busy signal detected Page record: NONE SENT Elapsed time: 00:06 on channel 9

Time: 3/26/2017 1:47:46 PM
Sent to [redacted] with remote ID ""
Result: (0/301;0/0) Busy signal detected Page record: NONE SENT Elapsed time: 00:06 on channel 0

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[redacted] **(IMD) (CON)**

From: [redacted]
Sent: Wednesday, March 29, 2017 5:40 PM
To: Cincinelli, Salvatore G. (NY) (FBI); [redacted] (USANJ); [redacted] (NY) (FBI)
Subject: RE: Fortress Preservation Notices

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All these, plus [redacted] preservation letters, went out today. Will send everyone the confirmation information soon.

From: Cincinelli, Salvatore G. (NY) (FBI) [mailto:Salvatore.Cincinelli@ic.fbi.gov]
Sent: Monday, March 27, 2017 7:15 PM
To [redacted] (USANJ); [redacted] (NY) (FBI); [redacted]
Cc [redacted]
Subject: RE: Fortress Preservation Notices

Thanks – here is additional subject information on the folks we discussed earlier:

[redacted]

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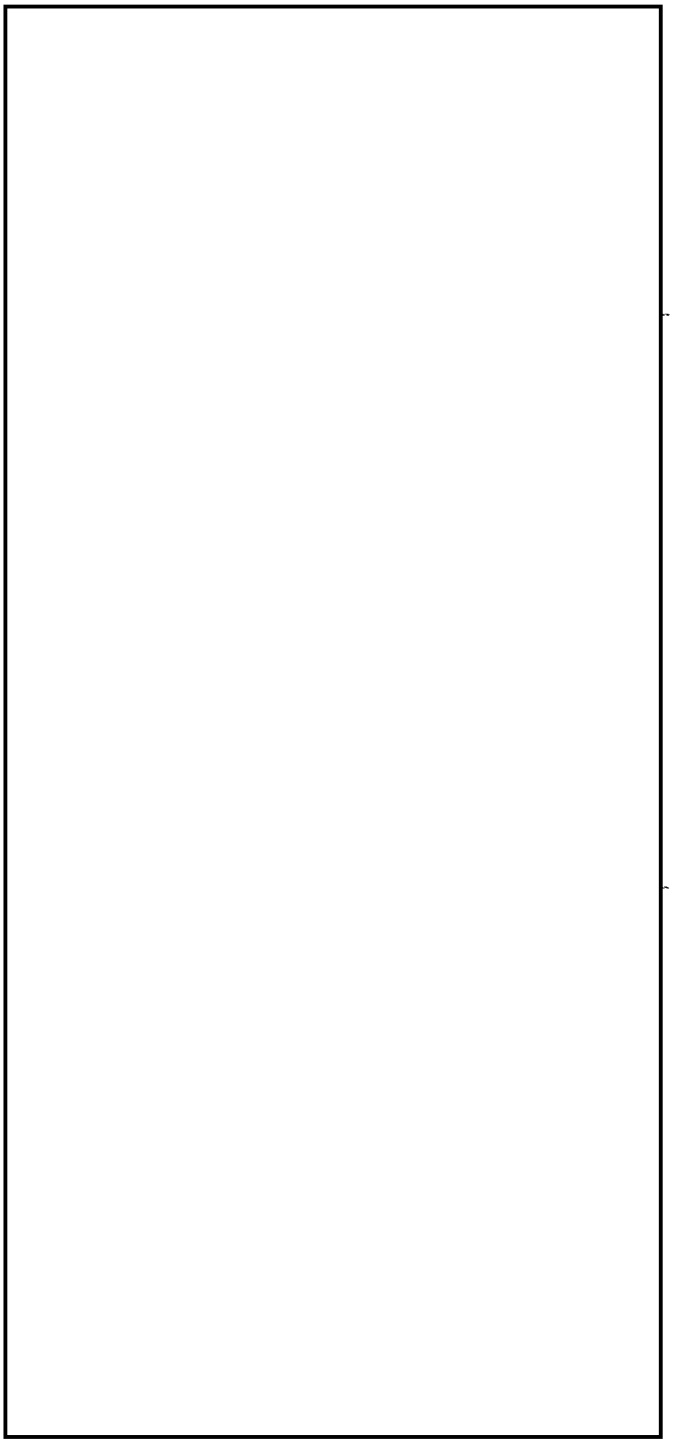

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wins the prize for the most but has no cell phone number listed.

The only number I see appears to be a landline for the residence at

I checked the spouse too and she does not have a listed cell number either. Thought they might have a shared plan under her name.

Have to do some more digging to come up with his #.

From: [redacted](USANJ) [mailto[redacted]]
Sent: Monday, March 27, 2017 9:35 AM
To: Cincinelli, Salvatore G. (NY) (FBI) <Salvatore.Cincinelli@ic.fbi.gov>; [redacted](NY) (FBI)
[redacted]
Cc: [redacted]
Subject: Fortress Preservation Notices

Forwarding along the preservation notice confirmations. Of the open source [redacted] forwarded by Sal, I've sent preservation notices for all but:

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[redacted]

[redacted]

[redacted]
Assistant U.S. Attorney

U.S. Attorney's Office
District of New Jersey
970 Broad Street, Newark, NJ 07102
Desk: [redacted]
Cell: [redacted]

FD-1057 (Rev. 5-8-10)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Electronic Communication

Title: (U) Materials from SEC **Date:** 04/20/2017

From: NEW YORK
NY-C35
Contact: [redacted]

Approved By: SSA [redacted]

Drafted By: [redacted]
CINCINELLI SALVATORE G

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Case ID #: 318D-NY-2137947 (U) FORTRESS INVESTMENT GROUP; UNSUBS

Synopsis: (U) To document receipt of materials from the Securities and Exchange Commission (SEC)

Preliminary Investigation Initiated: 02/24/2017, set to expire 08/24/2017

Enclosure(s): Enclosed are the following items:

1. (U) [redacted]
2. (U)
3. (U)
4. (U)
5. (U)
6. (U)
7. (U)
8. (U)
9. (U)
10. (U)
11. (U)

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Details:

On March 30, 2017 and March 31, 2017, SAs Salvatore Cincinelli and [redacted] received [redacted] Securities and

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UNCLASSIFIED

Title: (U) Materials from SEC
Re: 318D-NY-2137947, 04/20/2017

Exchange Commission (SEC), [redacted] b7E

[redacted]

On April 6, 2017 and April 11, 2017, SAs Cincinelli and [redacted] Trial Attorney for the Criminal Division of the U.S. Department of Justice. [redacted] b5 b6 b7C

[redacted] The discs are contained in a 1A attached to this EC. [redacted]

On April 14, 2017, SAs Cincinelli and [redacted] received [redacted] from [redacted] SEC. [redacted] b6 b7C b7E

[redacted]

All documents were provided pursuant to a signed access request.

♦♦

UNCLASSIFIED

Physical 1A/1C Cover Sheet for Serial Export

Created From:	318D-NY-2137947 Serial 4
Package:	1A6
Stored Location:	None
Summary:	(U) [redacted] DOJ Trial Attorney [redacted] Discs received on 4/6/2017 and 4/11/2017.
Acquired By:	[redacted]
Acquired On:	2017-04-11
Attachment:	(U) [redacted]

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Page 87 ~ Referral/Direct;
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Page 93 ~ Referral/Direct;
Page 94 ~ Referral/Direct;
Page 95 ~ Referral/Direct;
Page 96 ~ Referral/Direct;
Page 97 ~ Referral/Direct;
Page 98 ~ Referral/Direct;
Page 102 ~ OTHER - Sealed pursuant to Court Order;
Page 103 ~ OTHER - Sealed pursuant to Court Order;
Page 104 ~ OTHER - Sealed pursuant to Court Order;
Page 105 ~ OTHER - Sealed pursuant to Court Order;
Page 106 ~ OTHER - Sealed pursuant to Court Order;
Page 109 ~ Referral/Direct;
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